OIPE JC67 JUL 06 2004 PATENT & TRADEMARK OFFICE

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/684,608
Filing Date	October 14, 2003
First Named Inventor	James M. Lockwood
Art Unit	1724
Examiner Name	Not Yet Assigned
Total Number of Pages in This Submission	
Attorney Docket Number	413107

ENCLOSURES ***(check all that apply)***

- ☐ Fee Transmittal Form
  - ☐ Fee Attached
- ☐ Amendment / Reply
  - ☐ After Final
  - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/ Incomplete Application
  - ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) ____
- ☐ After Allowance Communication to Technology Center (TC)
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to TC **(Appeal Notice, Brief, Reply Brief)**
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) *(please identify below)*:
  Form PTO 1449
  Certificate of Mailing
  Post Card

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Janelle D. Strode
Signature	Janelle D. Strode
Date	July 6, 2004

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as Express Mail Post Office to Addressee and addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Melissa Smith		
Signature	Melissa R. Smith	Date	July 6, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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PATENT
Attorney Docket No.: 413107
Express Mail Label No.: EV413217611US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s)	James M. Lockwood et al.	Examiner	Not Yet Assigned
Serial No.	10/684,608	Group Art No.	1724
Filed	October 14, 2003	Confirmation No.	2914
For	Method for Removing Heavy Metals and Radionuclides		

July 6, 2004

Mail Stop Amendment
Commissioner For Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

This Information Disclosure Statement is submitted:

☒ under 37 CFR 1.97(b), or
(Within three months of filing national application, or date of entry of national application, or before mailing date of first office action on the merits, whichever occurs last)

☐ under 37 CFR 1.97(c) together with either a:
- ☐ Statement under 37 CFR 1.97(e), or
- ☐ a $180 fee under 37 CFR 1.17(p), or

(After the CFR 1.97(b) time period, but before final action or notice of allowance, which ever occurs first)

☐ under 37 CFR 1.97(d) together with a:
- ☐ Statement under 37 CFR 1.97(e)(1) or (2), and
- ☐ a $180.00 fee set forth in 37 CFR 1.17(p).

(Filed after final action, a notice of allowance, on or before payment of issue fee)

☐ Applicant(s) submit herewith Form PTO 1449 – Information Disclosure Citation together with copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of the application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☒ This Application was filed after June 30, 2003. Therefore, Applicant(s) submit(s) herewith Form PTO 1449 – Information Disclosure Citation without copies of U.S. patents or U.S. publications, but includes copies of foreign patents, publications or other information of which Applicant(s) is/are aware, which applicant(s) believe(s) may be material to the examination of the application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in 37 CFR 1.56(c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counter part foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith

It is requested that the information disclosed herein be made of record in this application

Respectfully submitted,

LATHROP & GAGE LLC

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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet | | of | |

Complete if Known	
Application Number	10/684,608
Filing Date	October 14, 2003
First Named Inventor	James M. Lockwood
Art Unit	1724
Examiner Name	Not Yet Assigned
Attorney Docket Number	413107

U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No.[1]	Document Number Number - Kind Code[2] (*if known*)	Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US- 6,413,492	07-02-2003	Kuznicki et al.	
		US- 6,261,986	07-17-2001	Bowman et al.	
		US- 6,218,329	04-17-2001	Singh et al.	
		US- 5,919,287	07-06-1999	Moreau	
		US- 5,690,833	11-25-1997	Crawford et al.	
		US- 5,268,107	12-07-1993	Hutchings et al.	
		US- 4,623,529	11-18-1986	Sanders et al.	
		US- 4,247,524	01-27-1981	Leonard	
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FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Foreign Patent Document Country Code[3] - Number[4] - Kind Code[5] (*if known*)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]

Examiner Signature		Date Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. [1] Applicant's unique citation designation number (optional). [2] See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. [3] Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). [4] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [5] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. [6] Applicant is to place a check mark here if English language Translation is attached.

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CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10) Applicant(s): James M. Lockwood et al.			Matter No. 413107
Serial No. 10/684,608	Filing Date October 14, 2003	Examiner Not Yet Assigned	Group Art Unit 1724

Invention Method for Removing Heavy Metals and Radionuclides

I hereby certify that this Transmittal Form (1 page); Information Disclosure Statement (2 pages); Form PTO 1449 (1 page); authorization to charge additional fees that may be required, or credit any overpayment, to Deposit Account No. 12-0600; and return post card are being mailed in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 6th day of July, 2004.

Melissa Smith
Name of Depositor

Melissa R. Smith
Signature of Depositor

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